

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Kenneth Kiron et al.	Examiner:	Thu Thao Havan
Serial No.:	09/839888	Art Unit:	3693
Filing Date:	April 20, 2001	Confirmation No.:	5617
Title:	OPEN END MUTUAL FUND SECURITIZATION PROCESS	Attorney Ref.:	21240.01US5

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
(37 C.F.R. § 1.97(c)(2))

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, the items of information listed on the enclosed Form-PTO-1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted in accordance with 37 CFR § 1.97(c)(2), before the mailing of a final office action or a notice of allowance. The fee set forth in 37 C.F.R. § 1.17(p) is enclosed.

In accordance with 37 C.F.R. § 1.98 (a)(2), a legible copy of each reference listed on this Information Disclosure Statement (other than U.S. Patents and U.S. Patent Application Publications) is enclosed.

The previously filed Application upon which the current application relies for an earlier filing date under 35 U.S.C. § 120 is:

- U.S. Patent Application No. 09/579,801, filed on May 26, 2000.

In accordance with 37 C.F.R. § 1.104, no representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the Certificate of Electronic Transmission Under 37 C.F.R. § 1.8; I hereby certify that this correspondence is being transmitted to the United States Patent and Trademark Office using the EFS-Web System on February 9, 2009.

/Marianne A. Hall/
Marianne A. Hall

right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the references are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of MPEP 609, it is requested that the Examiner return a copy of the attached Forms PTO-1449 marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

The fee pursuant to 37 C.F.R. § 1.17(p), may be charged to our firm's deposit account no. 502,261.

Respectfully submitted,

Date: February 9, 2009

By: James P. Muraff /
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